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+

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional application under 37 C.F.R. § 1.53(b))

Attorney Docket No.

IN-9524

First Named Inventor

Cheng-Le ZHAO

Filing Date

December 9, 2003

Title

PROCESS FOR PRODUCTION OF POLYMER
DISPERSIONS CONTAINING AN ACETOACETATE
MOIETY

Express Mail Certificate

ER047 859 551US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO: Commissioner for Patents, P.O. BOX 1450, Alexandria, Virginia
22313-14501. ☒ Fee Transmittal Form (e.g. PTO/SB/17)

(Submit an original and a duplicate for fee processing)

2. ☐ Applicant claims small entity status.

See 37 CFR 1.27.

3. ☒ Specification [Total Pages

-(preferred arrangement set forth below)

- Descriptive title of the invention

- Cross References to Related Application

- Statement Regarding Fed sponsored R & D

- Reference to Microfiche Appendix

- Background of the invention

- Brief Summary of the invention

- Brief Description of the Drawings (if filed)

- Detailed Description

- Claim(s)

- Abstract of the Disclosure

7. ☐ CD-ROM or CD-R in duplicate, large table or

Computer Program (Appendix)

8. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)a. ☐ Computer Readable Form (CRF)

b. Specification Sequence Listing on:

i. ☐ CD-ROM or CD-R (2 copies); orii. ☐ paper☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))10. ☐ 37 CFR§3.73(b) Statement ☐ Power Of Attorney
(when there is an assignee)11. ☐ English Translation Document (if applicable)12. ☒ Information Disclosure ☒ Copies of IDS
Statement (IDS)/ PTO-1449 Citations13. ☐ Preliminary Amendment14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)16. ☐ other:4. ☐ Drawing(s) (35 U.S.C.113) [Total Sheets 5. ☒ Oath or Declaration [Total Sheets a. ☒ Newly executed (original or copy)b. ☐ Copy from a prior application (37 CFR § 1.63(d))
(for continuation/divisional with Box 17 completed)i. ☐ DELETION OF INVENTOR(S)

Signed statement attached deleting

6. ☒ Application Data Sheet. See 37 CFR 1.76

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment;

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No 0, filed on

Prior application information:

Examiner

Group/Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application from which an oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☒ Customer Number

26922

or

☐ Correspondence address below

Country

USA

Telephone

(248) 948-2355

Fax

(248) 948-2093

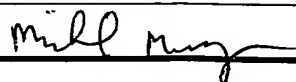
Name (print Type)

Michael F. MORGAN

Registration No. (Attorney Agent)

42,906

Signature



Date

December 9, 2003

FEE TRANSMITTAL

For FY 2002

Patent fees are subject to annual revision.

Attorney Docket No.

IN-9524

First Named Inventor

Cheng-Le ZHAO

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PROCESS FOR PRODUCTION OF POLYMER
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Express Mail Certificate

ER047 859 551US

TOTAL AMOUNT OF PAYMENT \$914.00

METHOD OF PAYMENT (check all that apply)

☒ Deposit Account: ☐ Credit Card ☐ Check

Deposit Account Number

23-3425

Deposit Account Name

BASF CORPORATION

The Commissioner is authorized to: (check all that apply)

☒ Change fees indicated below ☒ Charge the Issue Fee Set in 37 CFR §☒ Change any addition fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee
to the above-identified deposit account

FEE CALCULATION (continued)

SIR after Examiner action

3. ADDITION FEES

Large	Entity	Fee Description	Fee Paid
Fee Code	Fee (\$)		
105	130	Surcharge -late filing fee or oath	
147	2,520		
		SIR after Examiner action	
		SIR after Examiner action	
127	50	provisional ailing or cover sheet	
139	130	Non-English specification	
115	110	Extension for reply within first month	
116	400	Extension for reply within second month	
117	920	Extension for reply within third month	
118	1,440	Extension for reply within fourth month	
128	1,960	Extension for reply within fifth month	
119	320	Notice of Appeal	
119	320	Notice of Appeal	
120	320	Filing a brief in support of an appeal	
121	270	Request for oral hearing	
138	1,510	Petition to institute a public use proceeding	
140	110	Petition to revive-unavoidable	
141	1,280	Petition to revive-unintentional	
142	1,280	Utility issue fee (or reissue)	
143	450	Design issue fee	
144	670	Plant issue fee	
122	130	Petition to the Commissioner	
123	50	Petition related to provisional application	
126	240	Submission of information Disclosure Statement	
581	40	Recording each patent Assignment per property (time number of properties)	
146	790	Filing a submission after final rejection	
149	790	For each additional invention to be examined (37 CFR 1.129(b))	
		Other fee (specify)	
Reduced By Basic Fee Paid Filing			-0-
SUBTOTAL (3)			

FEE CALCULATION

1. BASIC FILING FEE

Large Entity

Fee	Code	Fee Description	
101	740	Utility filing fee	\$770.00
106	330	Design filing fee	
107	540	Plant filing fee	
108	790	Reissue filing fee	
114	160	Provisional filing fee	
SUBTOTAL (1)			\$770.00

2. EXTRA CLAIM FEES

Extra Claims Fee from below Fee Paid

Total Claims 28 -20** = 08 x 18 = \$144.00

Independent Claims 02 - 3** = 0 x 84 = \$

Multiple Dependent 280 =

**Or number previously paid, if greater; For Reissues, see below

Large Entity

Fee Fee

Code (\$)

103	18	Claims in excess of 20
102	80	Independent claims in excess of 3
104	270	Multiple dependent claims, if not paid
109	82	**Reissue independent claims over original patent
110	22	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$144.00)

**or number previously paid, if greater; For Reissues, see above

18. CORRESPONDENCE ADDRESS

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Name (print Type)

Michael F. MORGAN

Registration No. (Attorney Agent)

42,906

Signature



Date

December 9, 2003

PATENT

(Practitioner's Docket No. IN-9524)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Cheng-Le ZHAO

US Serial No. Herewith

Filed: December 9, 2003

Group Art Unit: Not Assigned

Examiner: Not Assigned

For: PROCESS FOR PRODUCTION OF POLYMER DISPERSIONS CONTAINING
AN ACETOACETATE MOIETY

Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

EXPRESS MAIL CERTIFICATE

"Express Mail" label number **ER047 859 551 US** Date of Deposit **December 9, 2003**

I hereby certify that the following attached paper or fee

X	Patent Application Data Sheet, 01 page
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is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Commissioner for Patents, P.O. BOX 1450, Alexandria, Virginia 22313-1450.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)



Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.